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APR 16 2004

**TRANSMITTAL LETTER**  
**(General - Patent Pending)**

Docket No.  
20011/1474

In Re Application Of: Peter C. Michels, Ph.D.

Serial No.  
10/638,841

Filing Date  
08/11/03

Examiner

Group Art Unit  
1625

Title: **PROCESS FOR THE PRODUCTION OF PIPERIDINE DERIVATIVES WITH MICROORGANISMS**

TO THE COMMISSIONER FOR PATENTS:

Transmitted herewith is:

- \* Revocation of Power of Attorney and Appointment of New Power of Attorney;
- \* Statement Under 37 CFR 3.73(b);
- \* Assignment - Reel 011633, Frame 0536;
- \* Assignment - Reel 014454, Frame 0386; and
- \* Acknowledgment postcard

in the above identified application.

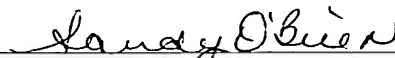
- ☒ No additional fee is required.
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  - ☐ Charge any additional fee required.

  
Signature

Dated: 14 April 2004

Philip E. Hansen, Ph.D., Reg. No. 32,700  
HESLIN ROTHENBERG FARLEY & MESITI P.C.  
5 Columbia Circle  
Albany, New York 12203  
Telephone No.: 518-452-5600  
Facsimile No.: 518-452-5579  
E-mail: peh@hrfmlaw.com

I certify that this document and fee is being deposited on April 14, 2004 with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

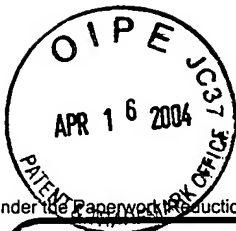


Signature of Person Mailing Correspondence

Sandy O'Brien

Typed or Printed Name of Person Mailing Correspondence

CC:



PTO/SB/82 (08-03)

Approved for use through 11/30/2005. OMB 0651-0035

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**REVOCATION OF POWER OF  
ATTORNEY and  
APPOINTMENT OF NEW  
POWER OF ATTORNEY**

Application Number	10/638,841
Filing Date	08/11/03
First Named Inventor	Peter C. Michels, Ph.D.
Art Unit	1625
Examiner Name	
Attorney Docket Number	20011/1474

I hereby revoke all previous powers of attorney given in the above-identified application:

☐ A Power of Attorney is submitted herewith.

OR

☒ I hereby appoint the practitioners at Customer Number: ☐ Please change the correspondence address for the above-identified application to:☐ The address associated with  
Customer Number: 

OR

<input checked="" type="checkbox"/> Firm or Individual Name	Philip E. Hansen, P.h.D.				
Address	Heslin Rothenberg Farley & Mesiti, P.C.				
Address	5 Columbia Circle				
City	Albany				
Country	US	State	NY	ZIP	12203
Telephone	518-452-5600	Fax	518-452-5579		

I am the:

☐ Applicant/Inventor☒ Assignee of record of the entire interest. See 37 CFR 3.71  
*Statement under 37CFR 3.73(b) is enclosed (Form PTO/SB/96)***SIGNATURE of Applicant or Assignee of Record**

Name	David P. Waldeck, Treasurer, AMR Technology, Inc.
Signature	
Date	4/8/04

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

☒ \*Total of 2 forms are submitted.

This collection of information is required by 37 CFR 1.36. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending on the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**STATEMENT UNDER 37 CFR 3.73(b)**

APR 16 2004

PATENT &amp; TRADEMARK

Applicant/Assignor/Owner: AMR Technology, Inc.Application No./Patent No.: 10/638,841Filed/Issue Date: 08/11/03Entitled: **PROCESS FOR THE PRODUCTION OF PIPERIDINE DERIVATIVES WITH MICROORGANISMS**AMR Technology, Inc., a Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by, percentage) of its ownership interest is \_\_\_\_\_ %  
in the patent application/patent identified above by virtue of either:

A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: Peter C. Michels & Eric L. Zirbes To: Albany Molecular Research, Inc.  
The document was recorded in the United States Patent and Trademark Office at  
Reel 011633, Frame 0536, or for which a copy thereof is attached.
2. From: Albany Molecular Research, Inc. To: AMR Technology, Inc.  
The document was recorded in the United States Patent and Trademark Office at  
Reel 014454, Frame 0386, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☒ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to

Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See

MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

4/8/07  
Date

\_\_\_\_\_  
Telephone number

David P. Waldeck

Typed or printed name

David P. Waldeck  
Signature

Treasurer

\_\_\_\_\_  
Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETE D FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



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Patent and Trademark Office  
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Washington, D.C. 20231

JUNE 06, 2001

PTAS



\*101668205A\*

NIXON PEABODY LLP  
MICHAEL L. GOLDMAN  
CLINTON SQUARE  
P.O. BOX 31051  
ROCHESTER, NY 14603-1051

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 03/19/2001

REEL/FRAME: 011633/0536  
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

MICHELS, PETER C.

DOC DATE: 03/12/2001

ASSIGNOR:

ZIRBES, ERIC L.

DOC DATE: 03/12/2001

ASSIGNEE:

ALBANY MOLECULAR RESEARCH, INC.  
21 CORPORATE CIRCLE  
ALBANY, NEW YORK 12203-0289

SERIAL NUMBER: 09754786  
PATENT NUMBER:

FILING DATE: 01/04/2001  
ISSUE DATE:

JEFFREY OLSEN, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

ENTERED  
Nixon Peabody LLP

JUN 27 2001

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2001/1191  
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4RD 3/19/01

To the Honorable Commissioner of Patents  
documents or copy thereof:

04-04-2001



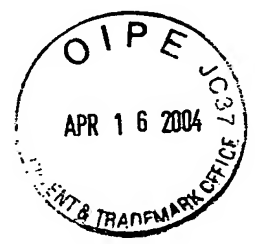
101668205

the attached original

<p>1. Name of conveying party(ies):</p> <p><b>Peter C. Michels</b> <b>Eric L. Zirbes</b></p>	<p>2. Name and address of receiving party(ies):</p> <p><b>Albany Molecular Research, Inc.</b> <b>21 Corporate Circle</b> <b>Albany, New York 12203-0289</b></p>
<p>3. Nature of conveyance:</p> <p><input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other: _____</p> <p>Execution Date(s):</p> <p>1st (sole) Inventor: <b>March 12, 2001</b> 2nd Inventor: <b>March 12, 2001</b> 3rd Inventor: 4th Inventor:</p>	<div data-bbox="998 525 1412 798"></div>
<p>4. Application number(s) or patent number(s): If this document is being filed together with a new application, the execution date(s) of the application is(are):</p> <p>1st (sole) Inventor: 2nd Inventor: 3rd Inventor: 4th Inventor:</p> <p>A. Patent Application No.(s): <b>09/754,786</b></p> <p>B. Patent No.(s):</p>	

04/03/2001 DBYRNE 00000081 09754786

01 FC:581 40.00 OP



5. Name and address of party ☐ from whom correspondence concerning document should be mailed:

**Michael L. Goldman**  
**NIXON PEABODY LLP**  
**Clinton Square**  
**P.O. Box 31051**  
**Rochester, New York 14603-1051**

6. Total number ☐ of applications and patents involved: 1

7. Total fee (37 CFR 3.41): \$40.00

☐ Previously paid (see original transmittal)

☒ A check in the amount of \$40.00 is enclosed:

8. Deposit Account Number: 14-1138

☐ Charge total fee to account.

☒ Charge any additional fees to account.

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Date: March 15, 2001

Georgia Evans

Georgia Evans  
Registration No. 44,597

[Total number of pages including cover sheet, attachments and document: 4]

Page 2 of 2

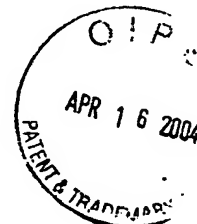
**Certificate of Mailing - 37 CFR 1.8(e)**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner of Patents and Trademarks, Washington, D.C. 20231, on the date below.

3/15/01 Jane C. Wirszyka

Date

Jane C. Wirszyka



WHEREAS, We, Peter C. Michels, a United States citizen, residing at 1227 48<sup>th</sup> Street, Des Moines, Iowa 50311 and Eric L. Zirbes, a United States citizen, residing at 922 - 23<sup>rd</sup> Avenue, Coralville, Iowa 52241, have invented certain new and useful improvements in **PROCESS FOR THE PRODUCTION OF PIPERIDINE DERIVATIVES WITH MICROORGANISMS** for which we have executed an application for Letters Patent in the United States, filed as U. S. Serial No. 09/754,786 on January 4, 2001;

AND WHEREAS, Albany Molecular Research, Inc., with its principal place of business at 21 Corporate Circle, Albany, New York 12203-0289, desires to acquire the entire right, title and interest in and to the said improvements and the said Application:

NOW, THEREFORE, for good and valuable consideration, including salary or payment for the making of inventions, or employee benefits, the receipt of which is hereby acknowledged, we, the said inventors, do hereby acknowledge that we have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over, unto the said Albany Molecular Research, Inc., its successors, legal representatives and assigns, the entire right, title and interest throughout the world in, to and under the said improvements, and the said application and all divisions, renewals and continuations thereof, and all Letters Patent of the United States which may be granted thereon and all reissues and extensions thereof, and all rights of priority under International Conventions and applications for Letters Patent which may hereafter be filed for said improvements in any country or countries foreign to the United States, and all Letters Patent which may be granted for said improvements in any country or countries foreign to the United States and all extensions, renewals and reissues thereof; and we hereby authorize and request the Commissioner of Patents of the United States, and any Official of any country or countries foreign to the United States, whose duty it is to issue patents on applications as aforesaid, to issue all Letters Patent for said improvements to the said Albany Molecular Research, Inc., its successors, legal representatives and assigns, in accordance with the terms of this instrument.

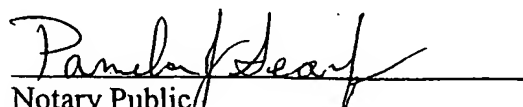
AND WE HEREBY covenant and agree that we will communicate to the said Albany Molecular Research, Inc., its successors, legal representatives and assigns, any facts known to us respecting said improvements and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing and reissue applications, make all rightful oaths and generally do everything possible to aid the said Albany Molecular Research, Inc., its successors, legal representatives and assigns, to obtain and enforce proper patent protection for said improvements in all countries.

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 12<sup>th</sup> day of March, 2001.

  
Peter C. Michels

STATE OF Iowa  
COUNTY OF Johnson SS:

This 12<sup>th</sup> day of March, 2001, before me personally came the above-named Peter C. Michels, to me personally known as the individual who executed the same of his/her own free will for the purposes therein set forth.

  
Notary Public



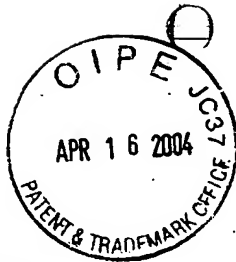
IN TESTIMONY WHEREOF, I hereunto set my hand and seal this 12<sup>th</sup> day  
of March, 2001.

Eric L. Zirbes  
Eric L. Zirbes

STATE OF Iowa  
COUNTY OF Johnson SS:

This 12<sup>th</sup> day of March, 2001, before me personally came the  
above-named **Eric L. Zirbes**, to me personally known as the individual who executed the  
same of his/her own free will for the purposes therein set forth.

Pamela J. Dean  
Notary Public



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Washington, D.C. 20231



\*700073965A\*

MARCH 29, 2004

PTAS

HESLIN ROTHENBERG FARLEY & MESITI P.C.  
EDWARD TIMMER  
5 COLUMBIA CIRCLE  
ALBANY, NY 12203

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RECORDATION DATE: 03/24/2004

REEL/FRAME: 014454/0386  
NUMBER OF PAGES: 2

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

ALBANY MOLECULAR RESEARCH, INC.

DOC DATE: 03/05/2002

ASSIGNEE:

AMR TECHNOLOGY, INC.  
5429 MAIN STREET  
MANCHESTER, VERMONT 05255

SERIAL NUMBER: 09754786  
PATENT NUMBER: 6613907

FILING DATE: 01/04/2001  
ISSUE DATE: 09/02/2003

JEFFREY OLSEN, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

03/24/2004  
700073965

Docket No. 2099.006A

APR 16 2004

FORM PTO 1546 (Rev. 11/01)  
(Rev. 11/01)  
USPS NO. 0651 (Rev. 10/01/2002)  
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To the Honorable Director of the United States Patent and Trademark Office: Please record the attached original documents or copy thereof.

## 1. Name of conveying party(ies):

Albany Molecular Research, Inc.  
21 Corporate Circle  
Albany, New York 12203

## 2. Name and address of receiving party(ies):

Name: AMR Technology, Inc.

Address: 5429 Main Street

Additional name(s) of conveying party(ies)

☐ Yes ☒ No

## 3. Nature of conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ Other

City: Manchester

State/Prov.: VT

Country: USA

ZIP: 05255

Execution Date: March 5, 2002

Additional name(s) &amp; address(es)

☐ Yes ☒ No

## 4. Application number(s) or patent numbers(s):

If this document is being filed together with a new application, the execution date of the application is:

Patent Application No

Filing date

B. Patent No.(s)

09/754,786

January 4, 2001

(which issued on September 2, 2003 as US Patent No. 6,613,907, and from which Application is Continuation Application Ser. No. 10/638,841 was filed on August 11, 2003, now pending.)

Additional numbers

☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Edward Timmer

Registration No. 46,248

Address: Heslin Rothenberg Hurley &amp; Mesiti P.C.

5 Columbia Circle

City: Albany

State/Prov.: NY

Country: USA

ZIP: 12203

## 6. Total number of applications and patents involved:

1

## 7. Total fee (37 CFR 3.41): \$ 40.00

☐ Enclosed - Any excess or insufficiency should be credited or debited to deposit account☒ Authorized to be charged to deposit account

## 8. Deposit account number:

08-1935

(Attach duplicate copy of this page if paying by deposit account)

## 9. Statement and signature.

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Edward Timmer

Name of Person Signing

Signature

March 24, 2004

Date

Total number of pages including cover sheet, attachments, and

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P.O. Box 14501 Alexandria, VA 22314-1450

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To:         Name:      HESLIN ROTHENBERG FARLEY & MESITI P.C.  
            Company:    EDWARD TIMMER  
            Fax Number: 15184525579  
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